

Mobile Messaging Compliance



Capture, retain, and supervise SMS, WhatsApp, voice messages, and more to meet regulatory requirements across regulated industries.

The Challenge

Mobile communication has become an everyday part of business. Organizations in regulated industries like financial services, healthcare, and the public sector face increasing pressure to support channels like WhatsApp, SMS, LINE, and WeChat. Employees and clients rely on these tools for speed, familiarity, and responsiveness. However, this growing demand has exposed potentially risky gaps in existing compliance infrastructure.

Regulators have made it clear that policies alone are no longer sufficient. Firms must demonstrate full capture, supervision, and retention of business communications, regardless of channel or device. But achieving effective digital communications governance and archiving (DCGA) across mobile messaging is complex. Despite the heightened focus on mobile communications by regulatory bodies, finding a scalable and streamlined path to DCGA compliance for mobile remains a challenge for many organizations. Here's what's getting in the way:

Off-Channel Communications

Employees frequently resort to unmonitored messaging platforms when preferred tools are not approved or supported, creating significant gaps in record-keeping.

Limited Coverage Across Messaging Apps

Popular mobile apps like WhatsApp, SMS, and WeChat are often disconnected from supervision workflows, leading to visibility issues for compliance and legal teams.

Insufficient Archiving and Retention

Many mobile capture solutions fail to support deep, policy-based, regulatory-compliant (i.e., SEC-17a-4) archiving.

Lack of Risk Detection and Supervision Workflows

Captured messages may be stored, but without AI-driven risk detection and review workflows, true compliance governance is missing.

Inability to Support Rich Content

Mobile communications today include emojis, images, reactions, and voice notes. Without context-preserving capture, key elements of communications records, context, and potential risk identifiers are lost.

No Integration Health Monitoring or Record Reconciliation

Without automated checks to validate ongoing capture and identify any failures or anomalies, firms lack defensible compliance posture in the event of an audit.

Each of these gaps introduces risk and holds organizations back from confidently enabling mobile messaging at scale.

What Sets Theta Lake Apart?

- Purpose-built for compliance with SEC 17a-4, FINRA, MiFID II, and more
- Mobile-first capture of SMS, MMS, WhatsApp, and business texting from Verizon, RingCentral, CellTrust, Movius, and more
- Flexible archiving in preferred systems or in Theta Lake's WORM-compliant SOC 2 Type 2 certified data center
- Reconciled user and message meta-data across mobile and UCaaS platforms for audit-ready records
- Full conversation view with preserved edits, deletions, reactions, and attachments
- Robust eDiscovery and legal hold tools for audits, investigations, and litigation
- Pre-built AI policies plus custom rule creation for risk and DLP detection
- Integrated archiving and review of mobile images, GIFs, emojis, links, and voice notes

The Solution

For many regulated organizations, bridging the gap between mobile communication and compliance is a growing challenge, especially as channels multiply and regulatory scrutiny intensifies.

Theta Lake simplifies the path forward. Rather than replacing existing mobile capture solutions, Theta Lake works with partners like LeapXpert, Movius, CellTrust, Verizon, and others to reduce friction and strengthen compliance workflows. Whether messages originate from encrypted apps like WhatsApp or carrier-delivered SMS, Theta Lake ensures they are seamlessly ingested, contextually preserved, and surfaced for review using AI-driven workflows.

Through native integrations with these mobile providers, Theta Lake delivers:

- Seamless and selective capture of communications, preserving format and metadata
- Regulatory-compliant archiving (e.g., SEC Rule 17a-4), as well as integration with existing archiving systems
- AI-based risk detection across text, images, voice notes, and emojis
- Supervision and review tools purpose-built for mobile content
- Unified recordkeeping across multiple UCC tools and platforms
- Fast, thorough, and accurate search and investigations across all communication channels
- Health monitoring and reconciliation reporting to validate capture and support audit readiness

By combining best-in-class mobile capture with Theta Lake's governance platform, organizations gain a practical, scalable path to DCGA—so they can confidently enable modern messaging without compromising compliance.

Our Mobile Partners

Partner	Message Types Supported	Capture Method
LeapXpert	WhatsApp, WeChat, LINE, Signal, SMS	Native (federated orchestration)
Movius	SMS, WhatsApp, Voice	Native (dual number / app)
Verizon	SMS, MMS	Native (carrier)
CellTrust	SMS, Voice	Native (secure mobile app)
1Global	SMS, Voice	Native (SIM-level capture)
Dialpad	Business SMS, Voice	Theta Lake API
BT Group Mobile	SMS, Voice	Native (carrier)

Theta Lake also seamlessly supports capture, archiving, and supervision for mobile/SMS communications originating in popular UCC platforms, along with all content from their varied channels and modalities, including video and electronic communications, as well:

Platform	Message Types Supported	Capture Method
RingCentral	SMS, Voice (RingCentral Phone), Voicemail	Native integration via APIs (certified)
Zoom	SMS (Zoom Phone SMS), Voice (Zoom Phone), Voicemail	Native integration via APIs (certified)
Webex	Voice (Webex Calling), SMS (Webex Business Texting)	Native integration via APIs (certified)
Microsoft Teams	Teams Phone, Teams Phone Mobile (via Operator Connect)	Certified call recording integration (Theta Lake is a Microsoft-certified recorder)

More Mobile Capabilities from Theta Lake

- Complete record capture across UCaaS platforms, eliminating the need for multiple archives
- Unified search and review across all archived communications
- AI-assisted risk detection to streamline and focus manual review workflow
- Continuous validation of capture through integration health monitoring and reconciliation
- Defensible recordkeeping posture to support audit readiness and regulatory response
- Seamless compliance support for modern mobile engagement and client communication
- Enterprise-wide WhatsApp capture applied at the admin level, no user set up required
- Context-preserving retention of historical messages, reactions, edits, deletions, and shared media
- Media-aware search and review across messages, attachments, and shared content